

Practitioner's Docket No. 55793 (46147)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Linda A. Sherman, et al.

Application No.: 08/812,393

Group No.: 1632

Filed: March 5, 1997

Examiner: M. Wilson

For: RECOMBINANT CONSTRUCTS ENCODING T CELL RECEPTORS SPECIFIC FOR HUMAN HLA-RESTRICTED TUMOR ANTIGENS

**Assistant Commissioner for Patents  
Washington, D.C. 20231**

\*\*\*\*\*

CERTIFICATE OF MAILING

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on January 6, 2003.

By: Regina M. Edwards  
Regina M. Edwards

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**TRANSMITTAL OF FORMAL DRAWINGS**

Attached please find:

(a) the formal drawing(s) for this application:

Sheet 3/17 - Figure 3A  
Sheet 4/17 - Figure 3B  
Sheet 5/17 - Figure 3C  
Sheet 6/17 - Figure 3D  
Sheet 11/17 - Figure 7A  
Sheet 12/17 - Figure 7B  
Sheet 13/17 - Figure 7C  
Sheet 14/17 - Figure 7D  
Sheet 15/17 - Figure 8

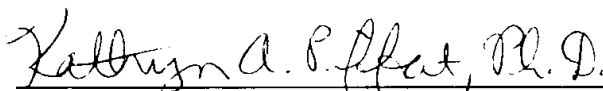
Number of Sheets: 9

[ X ] Each sheet of drawing indicates the identifying indicia suggested in section 1.84(c) on the reverse side of the drawing.

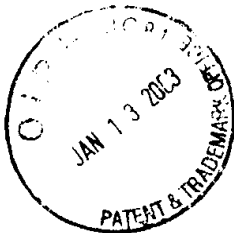
*NOTE: "Identifying indicia, if provided, should include the application number or the title of the invention, inventor's name, docket number (if any), and the name and telephone number of a person to call if the Office is unable to match the drawings to the proper application. This information should be placed on the back of each sheet of drawings a minimum distance of 1.5 cm. (5/8 inch) down from the top of the page. In addition, a reference to the application number, or, if an application number has not been assigned, the inventor's name, may be included in the left-hand corner, provided that the reference appears within 1.5 cm (9/16 inch) from the top of the sheet" (37 C. F. R. Section 1.84(c)).*

(b) [ ] a copy of the NOTICE OF DRAFTSPERSON'S PATENT DRAWING REVIEW.

Date: January 6, 2003  
Customer No.: 21,874

  
Kathryn A. Piffat, Ph.D. Reg. No.: 34,901  
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HUMAN HLA-RESTRICTED TUMOR ANTIGENS**Assistant Commissioner for Patents  
Washington, D.C. 20231****RECEIVED**

JAN 17 2003

\*\*\*\*\*TECH CENTER 1600/2900\*\*\*\*\*

**CERTIFICATE OF MAILING**

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on January 6, 2003.

By: Regina M. Edwards  
Regina M. Edwards

\*\*\*\*\*

**TRANSMITTAL LETTER**

Transmitted herewith for filing in the above-referenced patent application are the following documents:

1. Submission of Sequence Listing Transmittal (5 pages);
2. Supplemental Amendment (6 pages);
3. Statement to Support Filing and Submission in Accordance with 37 C.F.R. 1.821 - 1.825 (2 pages);
4. 3.5" Floppy Disk containing Sequence Listing;
5. Paper Copy of Sequence Listing (20 pages) (paginated);
6. Paper Copy of Sequence Listing (20 pages) (unpaginated);
7. 9 Sheets of drawings with indicia on reverse;
8. Formal drawings transmittal (2 pages);
9. This transmittal letter (2 pages); and (x2)
10. Return postcard.

Attorney Docket No.: 55793 (46147)

USSN: 08/812,393

Inventors: Linda A. Sherman, et al.

Filed: March 5, 1997

Page 2 of 2

The Commissioner is hereby authorized to charge any excess fees that may be required, or credit any overpayment to Deposit Account No. 04-1105. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

Date: January 6, 2003



Kathryn A. Piffat, Ph.D. (Reg. No.: 34,901)

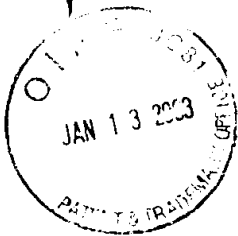
Intellectual Property Practice

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By: Regina M. Edwards  
Regina M. Edwards

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**SUBMISSION OF "SEQUENCE LISTING," COMPUTER READABLE COPY,  
AND/OR AMENDMENT PERTAINING THERETO  
FOR BIOTECHNOLOGY INVENTION CONTAINING NUCLEOTIDE  
AND/OR AMINO ACID SEQUENCE**

*(check and complete this item, if applicable)*

1. ☐ This replies to the Office Letter DATED \_\_\_\_\_.

**NOTE:** If these papers are filed before the office letter issues, adequate identification of the original papers should be made, e.g., in addition to the name of the inventor and title of invention, the filing date based on the "Express Mail" procedure, the application number from the return post card or the attorney's docket number added.

☐ A copy of the Office Letter is enclosed.

**IDENTIFICATION OF PERSON MAKING STATEMENT**

2. I, Kathryn A. Piffat, Ph.D.  
Kathryn A. Piffat, Ph.D.

state the following:

**ITEMS BEING SUBMITTED**

3. Submitted herewith is/are:

*(check each item as applicable)*

- A. ☒ "Sequence Listing(s)" for the nucleotide and/or amino acid sequence(s) in this application. Each "Sequence Listing" is assigned a separate identifier as required in 37 C.F.R. Section 1.821(c) and 37 C.F.R. Sections 1.822 and 1.823.
- B. ☒ An amendment to the description and/or claims, wherein reference is made to the sequence by use of the assigned identifier, as required in 37 C.F.R. Section 1.821(d).
- C. ☒ A copy of each "Sequence Listing" submitted for this application in computer readable form, in accordance with the requirements of 37 C.F.R. Sections 1.821(e) and 1.824.
- D. ☐ Please transfer to this application, in accordance with 37 C.F.R. Section 1.821(e), the computer readable copy(ies) from applicant's other application identified as follows:

In re application of:  
Application No.: 0 /  
Filed:  
For:

Group No.:  
Examiner:

The Computer readable form(s) of applicant's other application corresponds to the "Sequence Identifier(s)" of the application as follows:

Computer Readable Form  
(other application)

"Sequence Identifier"  
(this application)

NOTE: "If the computer readable form of a new application is to be identical with the computer readable form of another application of the applicant on file in the Office, reference maybe made to the other application and computer readable form in lieu of filing a duplicate computer readable form in the new application. The new application shall be accompanied by a letter making such reference to the other application and computer readable form, both of which shall be completely identified." 37 C.F.R. Section 1.821(e).

E. ☒ A statement that the content of each "Sequence Listing" submitted and each computer readable copy are the same, as required in 37 C.F.R. Section 1.821(g).

☐ Because the statement is not made by a person registered to practice before the Office, the Statement is verified as required in 37 C.F.R. Section 1.821(b).

F. ☒ Because this submission is made in fulfilling the requirement under 37 C.F.R. Section 1.821(g), a statement that the submission includes no new matter.

☐ Because the statement is not made by a person registered to practice before the Office, the statement is verified, as required in 37 C.F.R. Section 1.821(g).

**STATEMENT THAT "SEQUENCE LISTING"  
AND COMPUTER READABLE COPY ARE THE SAME  
AND/OR THAT PAPERS SUBMITTED INCLUDES NO NEW MATTER**

4. I hereby state:

*(complete applicable item A and/or B)*

A. ☒ Each computer readable form submitted in this application, including those forms requested to be transferred from applicant's other application, is the same as the "Sequence Listing" to which it is indicated to relate.

B. ☒ All papers accompanying this submission, or for which a request for transfer from applicants' other application, introduce no new matter.

## STATUS

5. Applicant is

☐ a small entity. A statement:

☐ is attached.

☐ was already filed.

☒ other than a small entity.

## EXTENSION OF TERM

*NOTE: "Extension of Time in Patent Cases (Supplement Amendments) If a timely and complete response has been filed after a Non-Final Office Action, an extension of time is not required to permit filing and/or entry of an additional amendment after expiration of the shortened statutory period.*

*If a timely response has been filed after a Final Office Action, an extension of time is required to permit filing and/or entry of a Notice of Appeal or filing and/or entry of an additional amendment after expiration of the shortened statutory period unless the timely-filed response placed the application in condition for allowance. Of course, if a Notice of Appeal has been filed within the shortened statutory period, the period has ceased to run." Notice of Dec.10, 1985 (1061 O.G. 34-35).*

*NOTE: See 37 C.F.R. Section 1.645 for extensions of time in interference proceedings and 37 C.F.R. Section 1.550(c) for extensions of time in reexamination proceedings.*

6. The proceedings herein are for a patent application and the provisions of 37 C.F.R. Section 1.136 apply.

*(complete (a) or (b) as applicable)*

(a) ☒ Applicant petitions for an extension of time under 37 C.F.R. Section 1.136 (fees: 37 C.F.R. Section 1.17(a)(1)-(4)) for the total number of months checked below:

Extension (months)	Fee for other than small entity	Fee for small entity
<input type="checkbox"/> one month	\$ 110.00	\$ 55.00
<input type="checkbox"/> two months	\$ 400.00	\$ 200.00
<input type="checkbox"/> three months	\$ 920.00	\$ 460.00
<input type="checkbox"/> four months	\$1440.00	\$ 720.00
<input type="checkbox"/> five months	\$1960.00	\$ 980.00

**Fee \$** \_\_\_\_\_



If an additional extension of time is required, please consider this a petition therefor.

*(check and complete the next item, if applicable)*

- ☐ An extension for \_\_\_\_\_ months has already been secured, and the fee paid therefor of \$ \_\_\_\_\_ is deducted from the total fee due for the total months of extension now requested.

Extension fee due with this request \$ \_\_\_\_\_

**OR**

- (b) ☒ Applicant believes that no extension of term is required. However, this conditional petition is being made to provide for the possibility that applicant has inadvertently overlooked the need for a petition and fee for extension of time.

**FEE PAYMENT**

7. ☐ Attached is a check in the sum of \$ \_\_\_\_\_.

☐ Charge Account No. \_\_\_\_\_ the sum of \$ \_\_\_\_\_.

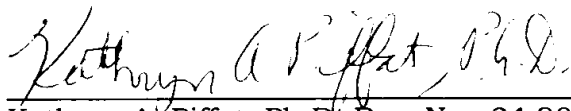
A duplicate of this transmittal is attached.

**FEE DEFICIENCY**

8. *NOTE: If there is a fee deficiency and there is no authorization to charge an account, additional fees are necessary to cover the additional time consumed in making up the original deficiency. If the maximum, six-month period has expired before the deficiency is noted and corrected, the application is held abandoned. In those instances where authorization to charge is included, processing delays are encountered in returning the papers to the PTO finance Branch in order to apply these charges prior to action on the cases. Authorization to charge the deposit account for any fee deficiency should be checked. See the Notice of April 7, 1986, 1065 O.G. 31-33.*

9. ☒ If any additional extension and/or fee is required, charge Account No. 04-1105.

Date: January 6, 2003  
Customer No.: 21,874

  
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